



PATENT APPLICATION  
Docket No: 14321.55

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )

Koichi Takiguchi et al. )

Serial No.: 10/614,637 ) Art Unit  
                            ) 2874

Confirmation No.: 7656 )

Filed: July 7, 2003 )

For: CHARACTERISTIC ADJUSTMENT METHOD )  
      OF MULTISTAGE MACH-ZEHNDER )  
      INTERFEROMETER TYPE OPTICAL CIRCUIT )

CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

I hereby certify that the following documents are being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450, on the 21<sup>st</sup> day of January 2004.

- Transmittal for Information Disclosure Statement (3 pages)
- Information Disclosure Statement (2 pages)
- Form PTO-1449 listing 4 references (2 pages)
- A copy of each of the references list on the Form PTO-1449
- Postcard

Respectfully submitted,

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PATENT APPLICATION  
Docket No: 14321.55

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## TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement, which includes the following statements, if any, required variously by 37 C.F.R. § 1.98:

- Statement of relevance of selected cited references not in the English language which are not translated.
- Statement that selected cited references are substantially cumulative of an enclosed or previously submitted reference.

— Statement that selected cited references were previously cited by or submitted to the United States Patent and Trademark Office in a prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

A. Additional Materials Required Due to Content of Information Disclosure Statement

Transmitted are the following documents in addition to the Information Disclosure Statement as required variously under 37 C.F.R. § 1.98:

- Form PTO-1449 listing 4 references submitted for consideration.
- A copy of each of the references listed on the Form PTO-1449.
- English translations of \_\_\_\_\_ (\_\_\_\_) of the references listed on the Form PTO-1449 which are not in the English language.
- Copies of the following documents from the prosecution of a previous, related application:
  - Form PTO-1449 AND INFORMATION DISCLOSURE STATEMENT; and
  - Form PTO-892

B. Additional Materials Required Due to Timing of Filing of Information Disclosure Statement

The transmitted Information Disclosure Statement is being filed within one (1) of the following four (4) time periods:

- I.  Prior to the later of either three (3) months following the filing date or the mailing of a first Office Action. Accordingly, no materials other than those listed above are enclosed.
- II. — Following the latter of either three (3) months following the filing date or the mailing of a first Office Action, but before the mailing of a final Office Action or a Notice of Allowance. Accordingly, to secure consideration thereof, one (1) of the following is also enclosed:
  - Promptness Certification; or
  - Check No. \_\_\_\_\_ in the amount of \$\_\_\_\_ constituting the submission fee set forth in 37 C.F.R. § 1.17(p).
- III. — After the mailing of a Notice of Allowance, but before payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:
  - Promptness Certificate;

January 21, 2004  
Page 3



Petition for Consideration; and

Check No. in the amount of \$ \_\_\_\_\_ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

IV.  After payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:

Petition to Withdraw from Issue; and

Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

C. Fees

The Commissioner is hereby authorized to charge payment of or any deficiency in the following fees associated with this communication, or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate copy of this letter is enclosed.

- Any fee required in relation to filing of this letter or any documents transmitted therewith.
- The submission fee set forth in 37 C.F.R. § 1.17(p) in the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that any Promptness Certificate submitted meets the requirements of 37 C.F.R. § 1.97(e).
- The submission fee set forth in 37 C.F.R. § 1.17(p).
- The petition fee set forth in 37 C.F.R. § 1.17(i)(1).

Dated this 21<sup>st</sup> day of January 2004.

Respectfully submitted,

DANA L. TANGREN  
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Registration No. 37,246  
Customer No. 022913



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INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed listed references are disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

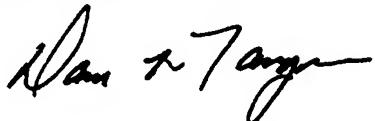
Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

January 21, 2004  
Page 2

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

Dated this 21<sup>st</sup> day of January 2004.

Respectfully submitted,



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Applicant: Koichi Takiguchi et al.

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INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

Examiner <u>Initial*</u>	Document <u>Number</u>	Issue <u>Date</u>	<u>Name</u>
____ 1	5,596,661	01/21/1997	Henry et al.

Foreign Patent Documents

Examiner <u>Initial*</u>	Document <u>Number</u>	Publication <u>Date</u>	Country or <u>Patent Office</u>	<u>Translation</u>
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Other Documents

(including author, title, pertinent pages, etc.)

Examiner  
Initial\*

- \_\_\_\_ 2 Koichi Takiguchi et al., *Planar Lightwave Circuit Optical Dispersion Equalizer*, IEEE Photonics Technology Letters, Vol. 6, No. 1, January 1994, pp. 86-88.
- \_\_\_\_ 3 S. Suzuki et al., *Low-Loss Integrated-Optic Dynamic Chromatic Dispersion Compensators Using Lattice-Form Planar Lightwave Circuits*, Tuesday Afternoon, Vol. 1, OFC 2003, pp. 176-177.
- \_\_\_\_ 4 K. Takiguchi et al., *Method for Adjusting Lattice-Form Optical Devices and Its Use in Realising Low-Loss Variable Chromatic Dispersion Compensator*, Electronics Letters, Vol. 39, No. 4, February 20, 2003.

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.